

James Vincent O'Brien

Criminal Arrest

DATE: February 10, 2002 DEFENDANT: James Vincent O'Brien of Atlanta, Georgia

CHARGES: O'Brien was arrested in Richmond, Virginia on six counts of securities fraud and registration violations. O'Brien originally sold to Kansas residents pager licenses. Later he converted their investment to stock in a pager company.

COURT: Wichita County, Kansas

Plea and Sentencing

DATE: July 11, 2002 DEFENDANT: James Vincent O'Brien of Atlanta, Georgia

O'Brien pled guilty to one count of violating K.S.A. 17-1254(a), sale of securities by an unregistered broker-dealer, agent, investment adviser or investment adviser representative. O'Brien sentenced to 24 months probation, with an underlying sentence of 11 months prison. Made restitution in the amount of \$24,000.

COURT: Wichita County, Kansas

Consent Order

DATE: December 2, 2002 ORDER: Permanent bar from selling securities in Kansas.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.